



PATENTS  
HSX/001 CON 5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy M. Keiser et al.  
Application No.: 10/655,409 Confirmation No.: 6575  
Filed : September 4, 2003  
For : COMPUTER-IMPLEMENTED SECURITIES TRADING  
SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION  
Group Art Unit : 3628  
Examiner : Clement B. Graham

Mail Stop After Final  
Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATION

Express Mail Label No. EV 619620342 US

Date of Deposit: October 28, 2005

I hereby certify that this certification and the following papers and fees:

1. Transmittal Letter (in duplicate);
2. Reply to Final Office Action; and
3. Postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to Mail Stop After Final, Hon. Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Name: Isatta B. Smith



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New York, New York 10020  
October 28, 2005

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TRANSMITTAL LETTER

Sir:

Transmitted herewith: ☐ a Preliminary Amendment;  
☒ a Reply to Final Office Action; ☐ a Declaration; ☐ a  
Power of Attorney; ☐ an Associate Power of Attorney;  
☐ formal drawings; to be filed in the above-identified patent  
application.

FEE FOR ADDITIONAL CLAIMS

☒ A fee for additional claims is not required.  
☐ A fee for additional claims is required.

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The additional fee has been calculated as shown below:

CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEES
TOTAL CLAIMS	19 - 20	* = 0	X \$ 50 =	\$ 0.00
INDEPENDENT CLAIMS	3 - 3	** = 0	X \$200 =	\$ 0.00
FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM			+ \$360 =	\$ 0.00

\* If less than 20, insert 20.

TOTAL \$ 0.00

\*\* If less than 3, insert 3.

[ ] A check in the amount of \$ \_\_\_\_\_ in payment of the filing fee is transmitted herewith.

[X] The Director is hereby authorize d to charge payment of any additional filing fees required under 37 C.F.R. § 1.16, in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to deposit Account No. 06-1075, Order No. 000741-0096. A duplicate copy of this transmittal letter is transmitted herewith.

[ ] Please charge \$ \_\_\_\_\_ to Deposit Account No. 06-1075 in payment of the filing fee. A duplicate copy of this transmittal letter is transmitted herewith.

#### EXTENSION FEE

[ ] The following extension is applica ble to the Response filed herewith; [ ] \$120.00 extension fee for response within first month pursuant to 37 C.F.R. § 1.136(a);

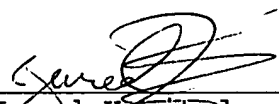
☐ \$450.00 extension fee for response within second month pursuant to 37 C.F.R. § 1.136(a); ☐ \$1,020.00 extension fee for response within third month pursuant to 37 C.F.R. § 1.136(a); ☐ \$1,590.00 extension fee for response within fourth month pursuant to 37 C.F.R. § 1.136(a); ☐ \$2,160.00 within fifth month pursuant to 37 C.F.R. § 1.136(a).

☐ A check in the amount of ☐ \$120.00; ☐ \$450.00; ☐ \$1,020.00; ☐ \$1,590.00; ☐ \$2,160.00 in payment of the extension fee is transmitted herewith.

☒ The Director is hereby authorized to charge payment of any additional fees required under 37 C.F.R. § 1.17 in connection with the paper(s) transmitted herewith, or to credit any overpayment of same, to Deposit Account No. 06-1075, Order No. 000741-0096. A duplicate copy of this transmittal letter is transmitted herewith.

☐ Please charge the ☐ \$120.00; ☐ \$450.00; ☐ \$1,020.00; ☐ \$1,590.00; ☐ \$2,160.00 extension fee to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.

Respectfully submitted,

  
\_\_\_\_\_  
Jared Kneitel  
Registration No. 51,178  
Agent for Applicants

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10-31-05

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JPL



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New York, New York 10020  
October 28, 2005

REPLY TO FINAL OFFICE ACTION

Sir:

In reply to the Final Office Action mailed August 11,  
2005, please consider the following remarks:

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